



*Important Notice*  
National Securities Clearing Corporation

<b>A#:</b>	8165
<b>P&amp;S #:</b>	7740
<b>Date:</b>	02/12/2016
<b>To:</b>	ALL PARTICIPANTS
<b>Attention:</b>	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
<b>From:</b>	ACCOUNT ADMINISTRATION
<b>Subject:</b>	CHANGES IN THE LIST OF PARTICIPANTS

- The following firm will retire from all services, as detailed below:

**Last Trade Date, February 12, 2016:**

Guardian Investor Services LLC

No. 5573

*In connection with the above account retirement, another member firm will now assume this same number, as detailed below:*

- The following additional number has been assigned to Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, Omni/SERV Activity & Position, MF – Daily Price and Rate, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, February 16, 2016:**

Foreside Fund Services, LLC/RS Investment Funds

No. 5573

Contact: Robert Manupelli

Phone: (617) 483-7406

- The following firms will retire from all services, as detailed below:

**Last Trade Date, February 10, 2016:**

Piper Jaffray & Co./BMO GKST

No. 2344

**Last Trade Date, February 11, 2016:**

Jones Gable & Company Limited/CDS

No. 5070

**Last Trade Date, February 12, 2016:**

Octagon Capital Corp./CDS

No. 5042

**Last Trade Date, February 17, 2016:**

College Savings Bank

No. 7073

College Savings Bank

No. 9087

- The following firm will no longer participate in the DTCC Payment aXis service, as detailed below:  
**Last Trade Date, February 10, 2016:**  
Davis Distributors, LLC/Clipper Fund No. 5965
- The following firm will change their names only, as detailed below:  
**First Trade Date, February 16, 2016:**  
From: Rafferty Capital Markets LLC/PSP Family of Funds No. 5637  
To: Rafferty Capital Markets LLC/Kimberlite Investment Trust No. 5637
- The following firm will begin participation in the MF – Daily Price and Rate service, as detailed below:  
**First Trade Date, February 12, 2016:**  
Ultimus Fund Distributors, LLC/Stralem Funds No. 5639
- The following firm will begin participation in the MF – Profile service, as detailed below:  
**First Trade Date, February 17, 2016:**  
Foreside Fund Services, LLC/Blackstone Alternative Investment Funds No. 7555
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:  
**First Trade Date, February 10, 2016:**  
Mercer Investment Management, Inc. No. 9818  
Mercer Investment Management, Inc. No. 9308  
  
**First Trade Date, February 12, 2016:**  
US Bancorp Fund Services LLC No. 9309  
US Bancorp Fund Services LLC No. 9310  
SS&C Technologies Inc. No. 9312  
SS&C Technologies Inc. No. 9315
- The following firm will begin participation in the DTCC Payment aXis and Insurance Processing services, as detailed below:  
**First Trade Date, February 11, 2016:**  
International Assets Advisory, LLC No. 3280
- The following firm will begin participation in the ACATS and Obligation Warehouse services, as detailed below:  
**First Trade Date, February 16, 2016:**  
Phillip Capital Inc. No. 8460

- Please update the NSCC Directory dated February 2016 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Delete Last Trade Date, February 9, 2016</u></b> Penrod Financial Group	LGNT	0052	PENC	
<b><u>Add First Trade Date, February 10, 2016</u></b> CV Brokerage Inc.	ICBK	0388	CVFI	
<b><u>Add First Trade Date, February 12, 2016</u></b> Southeast Investments, N.C., Inc.	LGNT	0052	SEFB	

- Please update the NSCC Directory dated February 2016 (for OTC Executed-By List) as detailed below:

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Clearing Broker Change Effective First Trade Date, February 12, 2016</u></b> From: Xambala Capital, LLC To: Xambala Capital, LLC	WEDB	0103	XBLA	
	SHMR	0695	XBLA	
<b><u>Clearing Broker Change Effective First Trade Date, February 16, 2016</u></b> From: Berenberg Capital Markets LLC To: Berenberg Capital Markets LLC	SILK	0501	BCMX	
	GSCO	0005	BCMX	
<b><u>Clearing Broker Change Effective First Trade Date, February 16, 2016</u></b> From: CIMB Securities (USA), Inc To: CIMB Securities (USA), Inc	SILK	0501	CIMB	
	GSCO	0005	CIMB	
<b><u>Clearing Broker Change Effective First Trade Date, February 16, 2016</u></b> From: Jane Street Capital LLC To: Jane Street Capital LLC	SILK	0501	JSCT	
	GSCO	0005	JSCT	
<b><u>Clearing Broker Change Effective First Trade Date, February 16, 2016</u></b> From: Watermill Institutional Trading LLC To: Watermill Institutional Trading LLC	SILK	0501	WMLL	
	GSCO	0005	WMLL	

**Delete Last Trade Date, February 10, 2016**

Goldman Sachs Execution & Clearing, L.P.	SILK	0501	BZZN
Goldman Sachs Execution & Clearing, L.P.	SILK	0501	BZYH

**Delete Last Trade Date, February 11, 2016**

Instinet, LLC	INCA	0067	INML
Instinet, LLC	INCA	0067	INAT
Instinet, LLC	INCA	0067	INMP
Instinet, LLC	INCA	0067	INMU
Instinet, LLC	INCA	0067	INMB
Instinet, LLC	INCA	0067	INBA

**Delete Last Trade Date, February 12, 2016**

Bloomberg Tradebook LLC	LYON	0651	IOIX
Merrill Lynch, Pierce, Fenner & Smith Incorporated	LYON	0651	MLBB
Momentum Trading Partners, LLC	LYON	0651	MPLM
Samsung Securities (Americas) Inc.	LYON	0651	SSNY

**Delete Last Trade Date, February 16, 2016**

GWFS Equities, Inc.	NFSC	0226	GWJP
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**Add First Trade Date, February 10, 2016**

Cuttone & Co., Inc.	IBFS	0824	TTUC
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- Please update the NSCC Directory dated February 2016 (for Municipal Bond Comparison System) as detailed below:

<b><u>Clearing Broker Identifiers</u></b>		<b><u>Executing Broker Identifiers</u></b>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

**Clearing Broker Change Effective First Trade Date, February 9, 2016**

From: TCAdvisors Network Inc.	PERS	0443	TCAN
To: TCAdvisors Network Inc.	SWST	0279	TCAN

**Executing Broker Name Change Effective First Trade Date, February 11, 2016**

From: BondDesk Trading LLC	NFSC	0226	BDDK
To: Tradeweb Direct LLC	NFSC	0226	BDDK

**Executing Broker Name Change Effective First Trade Date, February 11, 2016**

From: BondDesk Trading LLC	NFSC	0226	BDTR
To: Tradeweb Direct LLC	NFSC	0226	BDTR

**Add First Trade Date, February 16, 2016**

Berenberg Capital Markets LLC	GSCO	0005	BCMX
CIMB Securities (USA), Inc	GSCO	0005	CIMB
Jane Street Capital LLC	GSCO	0005	JSCT
Watermill Institutional Trading LLC	GSCO	0005	WMLL

If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).